



Form No. _____

Client Name : _____

Client Code : _____

Sub Broker/A.P./Remiser _____



Client Registration Form

For Individual / Non Individual



PUSHPAK FINSTOCK

Member : NSE / BSE

2130-A/2, "VRAJRAJ", 3rd Floor,
Near Reliance Super Market,
Atabhai Road, Bhavnagar-364 001.

Phone : 0278-2223170, 2471552

Email : info@pushpaksecurities.com

Web. : www.pushpaksecurities.com

ACCOUNT OPENING KIT

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RECEIPT OF ACCOUNT OPENING FORM

To
PUSHPAK FINSTOCK
2130/A2, "VRAJRAJ", 3rd Floor, Near Reliance Super Market,
Atabhai Road, Bhavnagar-364001.

Dear Sirs,

Re : Account Opening Form No. _____

This Has reference to may / our captioned Account Opening Form which I/we Have submitted to you
Duly Filled Up Along With All The Supporting Documents.

I / We Hereby Acknowledge The Receipt of Copy of The Account Opening Form.

Thanking You,
Yours Truly,

Name of Client :

Date :

Place :



PUSHPAK FINSTOCK

Member of : National Stock Exchange of India Ltd. (NSE)
Bombay Stock Exchange Ltd. (BSE)

Regd. Office : 2130-A/2, "VRAJRAJ", 3rd Floor, Near Reliance Super Market,
Atabhai Road, Bhavnagar-364 001.
info@pushpaksecurities.com
Tel. : 0278-2223170

Exchange & Segment	SEBI No.	Date of Registration
NSE CASH	INZ000223221	01/01/2010
NSE FO		01/01/2010
BSE CASH		18/02/2019

Clearing Member

GLOBE CAPITAL MARKET LTD.

609, Ansal Bhavan, 16 K. G. Marg,
New Delhi 1100001
Ph. No. 011 - 30412345

SEBI Reg. No. INZ000177137

Compliance Officer

Name Mr. Sahadevsinh Rana
Phone No.: 0278 - 2223171
Email Id : rana@pushpaksecurities.com

Correspondence Office

2130-A/2, "VRAJRAJ", 3rd Floor,
Near Reliance Super Market, Atabhai Road,
Bhavnagar-364 001. Ph. 0278-2223170
Tel.: 0278- 2471552 www.pushpaksecurities.com

PARTNER

Name Mr. Amit Shah
Phone No.: 0278 - 2223171
Email Id : Amit6400@gmail.com

Correspondence Office

2130-A/2, "VRAJRAJ", 3rd Floor,
Near Reliance Super Market, Atabhai Road,
Bhavnagar-364 001. Ph. 0278-2223170
Tel.: 0278- 2471552 www.pushpaksecurities.com

For Any Grievances / disputes please contact stock broker **Pushpak Finstock** at the above address or email id - **grievances@pushpaksecurities.com** and phone no. **0278-2223170**

In case not satisfied with the response, please contact the concerned exchange(s) at following addresses:-

Exchange	E-mail	Phone
NSE	ignse@nse.co.in.	022 - 26598190
BSE	is@bseindia.com	022 - 22728097

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/ Trustees and whole time directors and persons authorized to deal in securities on behalf of company/ firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI): - List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in section D).
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): - List of documents admissible as Proof of Address:

(*Documents having an expiry date should be valid on the date of submission.)

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook — Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/ Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/ Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.

7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Type of Entity & its Documentary requirements

Corporate

- Copy of the balance sheets for the last 2 financial years (to be submitted every year).
- Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/ Whole time director/MD (to be submitted every year).
- Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.
- Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. Copies of the Memorandum and Articles of Association and certificate of incorporation. Copy of the Board Resolution for investment in securities market. Authorised signatories list with specimen signatures.

Partnership

- Copy of the balance sheets for the last 2 financial years (to be submitted every year). Certificate of registration (for registered partnership firms only). • Copy of partnership deed.
- Authorised signatories list with specimen signatures.
- Photograph, POI, POA, PAN of Partners

Trust

- Copy of the balance sheets for the last 2 financial years (to be submitted every year). Certificate of registration (for registered trust only).
- Copy of Trust deed.
- List of trustees certified by managing trustees/CA.
- Photograph, POI, POA, PAN of Trustees.

**HUF**

- PAN of HUF.
- Deed of declaration of HUF/ List of coparceners.
- Bank pass-book/bank statement in the name of HUF.
- Photograph, POI, POA, PAN of Karta

Unincorporated association or a body of individuals

- Proof of Existence/Constitution document.
- Resolution of the managing body & Power of Attorney granted to transact business on its behalf.
- Authorized signatories list with specimen signatures.

Banks / Institutional Investors

- Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.
- Authorized signatories list with specimen signatures

Foreign Financial Investors

- Copy of SEBI registration certificate.
- Authorized signatories list with specimen signatures.

Army / Government Bodies

- Self-certification on letterhead.
- Authorized signatories list with specimen signatures.

Registered Society

- Copy of Registration Certificate under Societies Registration Act. List of Managing Committee members.
- Committee resolution for persons authorised to act as authorised signatories with specimen signatures.
- True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

INSTRUCTIONS / CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals:
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures

Know Your Client (KYC) Application Form (For Individuals Only)	 CDSL VENTURES LTD <small>...ExploringNewHorizons</small>	 PUSHPAK FINSTOCK 2130-A/2,"VRAJRAJ",3rd Floor, Near Reliance Super Market, Atabhai Road,Bhavnagar-364001
<small>Please fill the form in ENGLISH and in BLOCK letters</small> <small>Fields marked * are mandatory</small> <small>Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also</small>	Application Number: Application Type*: <input type="checkbox"/> New KYC <input type="checkbox"/> Modification KYC	
KYC Mode*: Please Tick (✓) <input type="checkbox"/> Normal <input type="checkbox"/> EKYC OTP <input type="checkbox"/> EKYC Biometric <input type="checkbox"/> Online KYC <input type="checkbox"/> Offline EKYC <input type="checkbox"/> Dig locker		
1. Identity Details (please refer guidelines overleaf)		
PAN* _____ Please enclose a duly attested copy of your PAN Card		
Name* (same as ID proof) _____		
Maiden Name* (if any) _____		
Fathers/Spouse's Name* _____		
Date of Birth* _____		
Gender* <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender		
Marital Status* <input type="checkbox"/> Single <input type="checkbox"/> Married		
Nationality* <input type="checkbox"/> Indian <input type="checkbox"/> Other _____		
Residential Status* <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin*		
<small>Please Tick (✓)</small> <small>(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC. Select NRI or Foreign National based on Nationality of the individual)</small>		
<div style="border: 1px solid black; width: 150px; height: 100px; margin: 0 auto; display: flex; align-items: center; justify-content: center;"> Recent passport size Applicant Photo </div> <small>Cross Signature across photograph</small>		
Proof of Identity (POI) submitted for PAN exempted cases (Please tick)		
<input type="checkbox"/> A — Aadhaar Card XXXX XXXX _____ (Expiry Date) _____		
<input type="checkbox"/> B — Passport Number _____ (Expiry Date) _____		
<input type="checkbox"/> C — Voter ID Card _____ (Expiry Date) _____		
<input type="checkbox"/> D —Driving License _____		
<input type="checkbox"/> E —NREGAJob Card _____		
<input type="checkbox"/> F — NPR _____		
<input type="checkbox"/> Z —Others _____ (any document notified by Central Government)		
Identification Number _____		
2. Address Details* (please refer guidelines overleaf)		
A. Correspondence/ Local Address*		
Line 1* _____		
Line 2 _____		
Line3 _____		
City/Town/Village* _____ District* _____ Pin Code* _____		
State* _____ Country* _____		
Address Type* <input type="checkbox"/> Residential/Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified		
	Applicant e-SIGN	

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1*

Line 2

Line3

City/

Town/Village*

District*

Pin Code*

State*

Country*

Address Type*

☐

Residential/Business

☐

Residential

☐

Business

☐

Registered Office

☐

Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

<input type="checkbox"/>	A — Aadhaar Card	XXXX XXXX _____	
<input type="checkbox"/>	B — Passport Number	_____	(Expiry Date) _____
<input type="checkbox"/>	C — Voter ID Card	_____	
<input type="checkbox"/>	D —Driving License	_____	(Expiry Date) _____
<input type="checkbox"/>	E —NREGAJob Card	_____	
<input type="checkbox"/>	F — NPR Letter	_____	
<input type="checkbox"/>	Z—Others	_____	(any document notified by Central Government)
	Identification Number	_____	

3. Contact Details (in CAPITAL)

Email ID* _____

Mobile No. * _____

Tel (off) _____ Tel (Res) _____

4. Applicant Declaration

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Dig locker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

DATE: _____ (DD-MM-YYYY)

PLACE: _____

Applicant e-SIGN

Applicant Wet Signature

5. For Office Use Only

In-Person Verification (IPV) carried out by*

Intermediary Details*

IPV Date _____

Emp. Name _____

Emp. Code _____

Emp. Designation _____

☐ Self-certified document copies received (OVD)☐ True Copies of documents received (Attested)

AMC / Intermediary Name :

PUSHPAK FINSTOCK - 2101342930

Employee Signature and Stamp

Institution Name and Stamp

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

Important Instructions:

- A) Fields marked with '*' are mandatory fields.
 B) Please fill the form in English and in BLOCK letters.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please read section wise detailed guidelines / instructions at the end.
 E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 F) List of two character ISO 3166 country codes is available at the end.
 G) KYC number of applicant is mandatory for update application.
 H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



For office use only

Application Type*

☐ New

☐ Update

(To be filled by financial institution)

KYC Number

(Mandatory for KYC update request)

Account Type*

☐ Normal


☐ Simplified (for low risk customers)

☐ Small

☐ 1. PERSONAL DETAILS (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>)		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector)			
	<input type="checkbox"/> O-Others (<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student)			
	<input type="checkbox"/> B-Business			
	<input type="checkbox"/> X- Not Categorised			

PHOTO



Signature / Thumb Impression

☐ 2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*

Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth*

ISO 3166 Country Code of Birth*

☐ 3. PROOF OF IDENTITY (PoI)* (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

4. PROOF OF ADDRESS (PoA)*

☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)		
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others	<input type="text"/>	
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input type="text"/>			

Address

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
Pin / Post Code*	<input type="text"/>
City / Town / Village*	<input type="text"/>
State / U.T Code*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>

☐ 4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction E at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1*																								
Line 2																								
Line 3																								
District*					Pin / Post Code*					State / U.T Code*			ISO 3166 Country Code*											

☐ 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details

☐ Same as Correspondence / Local Address details

Line 1*																								
Line 2																								
Line 3																								
State*					ZIP / Post Code*					ISO 3166 Country Code*														

☐ 5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Tel. (Off)					Tel. (Res)					Mobile											
FAX					Email ID																

☐ 6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

☐ Addition of Related Person

☐ Deletion of Related Person

KYC Number of Related Person (if available*)

Related Person Type*

☐ Guardian of Minor

☐ Assignee

☐ Authorized Representative

Prefix

First Name

Middle Name

Last Name

Name*																										
-------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (H) at the end)

<input type="checkbox"/> A- Passport Number									Passport Expiry Date	DD-MM-YYYY					
<input type="checkbox"/> B- Voter ID Card															
<input type="checkbox"/> C- PAN Card															
<input type="checkbox"/> D- Driving Licence									Driving Licence Expiry Date	DD-MM-YYYY					
<input type="checkbox"/> E- UID (Aadhaar)															
<input type="checkbox"/> F- NREGA Job Card															
<input type="checkbox"/> Z- Others (any document notified by the central government)									Identification Number						
<input type="checkbox"/> S- Simplified Measures Account - Document Type code											Identification Number				

☐ 7. REMARKS (If any)

8. APPLICANT DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : DD-MM-YYYY

Place :



[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date	DD-MM-YYYY			
Emp. Name				
Emp. Code				
Emp. Designation				
Emp. Branch				

[Employee Signature]

INSTITUTION DETAILS

Name	PUSHPAK FINSTOCK															
Code	IN0170															

[Institution Stamp]

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

General Instructions:

- Fields marked with "*" are mandatory fields.
- Tick '✓' wherever applicable.
- Self-Certification of documents is mandatory.
- Please fill the form in English and in BLOCK Letters.
- Please fill all dates in DD-MM-YYYY format.
- Wherever state code and country code is to be furnished, the same should be the two digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- KYC number of applicant is mandatory for updation of KYC details.
- For particular section update, please tick(✓) in the box available before the section number and strike off the sections not required to be updated.
- In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self -certification required.

A Clarification / Guidelines on filling 'Personal Details' section

- Name: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- Either **father's name** or **spouse's** name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

- Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

C Clarification / Guidelines on filling 'Proof of Identity [Pol]' section

- If driving license number of passport is provided of identity then expiry date is to be mandatorily furnished.
- Mention identification / reference number if 'Z-Others (any document notified by the central government)' is ticked.
- In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and underlined relevant code may be mentioned in point 3(S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

D Clarification / Guidelines on filling 'Proof of Address [Pol]- Current / Permanent / Overseas Address details' section.

- PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
- State / U.T Codenad Pin / Post Code will not be mandatory for Overseas addresses.
- In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and underlined relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone post-paid mobile, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Department or Public Sector Undertakings they contain the address
05	Letter of allotment of accommodation from employer issued by State or Central Government department statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Eassy or Mission in India.

E Clarification / Guidelines on filling 'Proof of Address [Pol]- Correspondence / Local Address details' section.

- To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA required to be submitted.
- In case of multiple correspondence / local address, Please fill '**Annexure A1**'

F Clarification / Guidelines on filling 'Contact details' section.

- Please mention two digit country code and 10 digit mobile number (e.g. for Indian mobile number mention - 91 9999999999).
- Do not add '0' in the beginning of Mobile number.

G Clarification / Guidelines on filling 'Related Person details' section.

- Provide KYC number of related person if available.

H Clarification / Guidelines on filling 'Related Person details - Proof of Identity [Pol] of Related Person' section.

- Mention identification / reference number if 'Z-Others (any document notified by the central government)' is ticked.

**OTHER DETAILS For Individuals & Non - Individuals**

1. Gross Annual Income Details (please specify) : Income Range per annum :

Below Rs 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ 25 Lac - 1Crore ☐ >1 Crore ☐

Net-worth as on (date) _____ (_____) (Net worth should not be older than 1 year)

2. Occupation (please tick any one and give brief details):

Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐

Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others ☐

3. Please tick, as applicable:

Politically Exposed Person (PEP) ☐

Related to a Politically Exposed Person (PEP) ☐

4. Any other information : _____

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.



Date : _____ (dd/mm/yy)

Signature of Client / Authorised Signatory

FOR OFFICE USE ONLY

☐ (Originals verified) True copies of documents received.

☐ (Self-Attested) Self Certified Document copies received

Signature of the Authorised Signatory

Date : _____ (dd/mm/yy)

Seal/Stamp of PUSHPAK FINSTOCK

TRADING ACCOUNT RELATED DETAILS

For Individuals & Non - Individuals

A. BANK ACCOUNT(S) DETAILS

Name of the Bank										
Branch Address & Tel. No.										
Bank Account No.										
Account Type: Saving/Current/ Others in case of NRI / NRE / NRO										
Bank Code (9 digit MICR Code)										
IFSC code										

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name		
Depository Name (NSDL/CDSL)		
Beneficiary Name		
DP ID		
Beneficiary ID (BO ID)		

C. TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges	NSE, BSE & MSEI				MCX, NCDEX, BSE & NSE
All Segments	Cash / Mutual Fund	F&O	Currency	Debt	Commodity Derivatives

If you do not wish to trade in any of segments / Mutual Fund, please mention here _____.

D. PAST REGULATORY ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI / Stock exchange / any other authority against the applicant / constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years :

--

**E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS**

If client is dealing through the sub-broker, provide the following details :

Sub-broker's Name : _____

SEBI Registration Number : _____

Registered office address : _____

Ph. : _____ Fax : _____ Website : _____

Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/
sub-broker, provide details of all)

Name of stock broker : _____

Name of Sub-Broker, if any : _____

Client Code : _____ Exchange : _____

Details of disputes/dues pending from/to such stock brokers/sub-broker : _____

F. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) :

Physical ☐ ECN ☐

- Specify your Email id, if applicable : _____

- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify) :

Yes ☐ No ☐

- Number of years of Investment/ Trading Experience :

- In Case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/other (Please attach separate sheet)

- Any Other Information : _____

G. INTRODUCER DETAILS

Name of the Introducer: _____

Status of the Introducer : Sub-broker ☐ Remisier ☐ Authorized Person ☐

Existing Client ☐ Others ☐ please specify _____

Address of Introducer : _____

Phone no. of the Introducer : _____

Signature of the Introducer



Nomination Form

Date	D	D	M	M	Y	Y	Y	Y	UCC/ DP ID									Client ID										
------	---	---	---	---	---	---	---	---	------------	--	--	--	--	--	--	--	--	-----------	--	--	--	--	--	--	--	--	--	--

I/We wish to make a nomination. [As per details given below]

Nomination Details

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

Nomination can be made upto three nominees in the account.			Details of 1 st Nominee		Details of 2 nd Nominee		Details of 3 rd Nominee	
1	Name of the nominee(s) (Mr./Ms.)							
2	Share of each Nominee	Equally <small>[If not equally, please specify percentage]</small>	%		%		%	
			Any odd lot after division shall be transferred to the first nominee mentioned in the form.					
3	Relationship With the Applicant (If Any)							
4	Address of Nominee(s) City / Place: State & Country:							
		PIN Code						
5	Mobile / Telephone No. of nominee(s)							
6	Email ID of nominee(s)							
7	Nominee Identification details – [Please tick any one of following and provide details of same] <ul style="list-style-type: none"> <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhar <input type="checkbox"/> Saving Bank A/C No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID 							
	Signature:							



Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:

8	Date of Birth {in case of minor nominee(s)}			
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
10	Address of Guardian(s) City/Place: State & Country:			
	PIN Code			
11	Mobile / Telephone no. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with nominee			
14	Guardian Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN account no. Proof of Identity <input type="checkbox"/> Demat Account ID			
	Signature:			
Name(s) of holder(s)				Signature(s) of holder*
Sole / First Holder (Mr./Ms.)				
Second Holder (Mr./Ms.)				
Third Holder (Mr./Ms.)				

*Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

Declaration Form for opting out of nomination

To	Date	D	D	M	M	Y	Y	Y	Y
Trading Member/Participant's Name									
Trading Member/Participant's Address									
UCC/DP ID									
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
<p>I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.</p>									
Name and Signature of Holder(s)*									
1. _____ 2. _____ 3. _____									

*Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any change therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on Stock broker's designated website, if any.

Place _____

Date _____



Signature of Client / Authorised Signatory

**FOR OFFICE USE ONLY**☐ (Originals Verified) Self Certified Document Copies Received☐ (Attested) True copies of documents received
Main Intermediary

UCC Code allotted to the Client: _____

	Documents verified with Originals	Client Interviewed by	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

I / We undertake that we have made the client aware of "Policy and Procedures", tariff sheet and all the voluntary/non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the "Policy and Procedures", tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

For, PUSHPAK FINSTOCK_____
Signature of the Authorised Signatory**Date :** _____

POLICIES & PROCEDURES

Mandatory Document:

This is a mandatory /compulsory document from Broker (and not from SEBI / Exchange) and requires your utmost re, attention and understanding. This is an additional requirement from Broker which if contravenes any rules, regulations, articles, byelaws, circulars, directives and guidelines of SEBI and Exchanges shall be null and void.

Dealing in Penny Stocks :

Generally, the Broker warns clients to transact into any penny stocks as trading in such scripts is very risky. Further, the client is also required to adhere to exchange/members' guidelines and due diligence while trading in such scripts. As such, we the broker, do hereby warn the client not to deal in any penny stocks. However, we at our sole discretion, may allow or disallow the clients (on case to case basis) to deal in penny stocks, subject to rules, regulations, articles, byelaws, circulars, directives and guidelines of SEBI and Exchanges as well as considering the prevalent market and other circumstances and RMS policy, at related point of time.

Clients Exposure Limit :

The client's combined limit for Capital and Derivatives market, is fixed as per the Ledger balance in line with respective client's trade history/experience, if available, his financial capacity and/or credit worthiness and referrals. Further, Client's Ledger Credit balance, Securities hold in Beneficiary Account, POA stock as well as of funds / securities along with other criteria at Broker's sole discretion. margin amount etc. is also being considered. The limit can be increased / decreased based on credit balance

Brokerage Rate :

We the Broker shall charge a brokerage at the rate being agreed by you with us (including our branches or sub-brokers) depending upon market circumstances or as may be prescribed in KYC document / Back office Software. However, we shall adhere to the maximum permissible limit (presently not to exceed 2.5 %) as may be prescribed by SEBI / Exchanges from time to time. On option segment of Exchange, the same is fixed at Rs. 100/- per lot.

Penalty/Delayed payment Charges by either party :

I am / we are aware and agree that pay-in of Securities or Funds are required to be delivered / made to you on T+2 day. In case of any default or if any amount is overdue from me /us over such period as may be allowed by you, either party may charge penalty / delayed payment charges @ 2 % p.m. (or such other rate as may be decided by Broker from time to time in its sole discretion). However, I am / we are aware and specifically agree that this is just an additional / ad-hoc facility and shall not be construed / resulted into permanent practice leading to funding by broker in contravention of applicable laws.

Sell of Securities or Closing Open Position:

I/We also agree and confirm that in case of any delay (beyond permissible time limit as per SEBI's or Exchange's rules, regulations, byelaws, circulars and other applicable laws/ provisions) or in-ordinate delay in making the payment or clearance of or meeting up of my/our obligations, dues, debit balances, margin, MTOM debit balance etc. open positions might be squared-off, credit balances of securities or securities lying with you might be sold off, credit balance of funds might be adjusted against my/our obligation, debit balances or liabilities WITHOUT ANY NOTICE from your side or as per your RMS policy from time to time.

Shortages in Obligation and Internal Auction:

Clients are required to make Securities / Funds pay in on T+2 day. In case of default in security pay in by the client and the shortage is at member level i.e. internal shortage then the benefit calculated at the next day's closing rate after pay-out day or such other percentage being generally applied by the Stock Broker for other clients, above the closing price on the Auction Day or Closing price of first trading day of the settlement shall be recovered from the defaulting client and passed on to the respective beneficiary client.

In case of the default of securities pay-in by the client and the shortage is from the Exchange, auction value of the respective exchange plus penalty @ 2% (decided by the member from time to time) plus brokerage and other statutory charges shall be recovered from the defaulting client. In the case of funds default by the client, the member shall be liquidating the stocks to recover the money. Any shortfall arising out of liquidating securities by the members shall also be recovered from the defaulting client along with interest (decided by the member from time to time).

Restrictions/Prohibition to take further position or closing existing position:

Under any of the circumstances, such as, in case the client fails to meet his/her/its pay-in or margin obligations or clear the outstanding/debit balance with broker before permissible time limit or beyond such period as may be allowed by broker as per its RMS policy, the Client may not be permitted to take any fresh or further position until the clearance of earlier dues, obligation, outstanding etc. Even, broker can firstly set-off or adjust the payment or securities towards various dues and obligation of the client and until the full clearance of the same, shall not allow taking further position.

Further, it would be the duty of the client to monitor his/her/its position with the Broker from time to time. In case of any delay or failure in meeting any obligation, margin requirements etc. from client side, broker might close the existing position or open position without any further intimation to the client as per RMS policy.

Such Circumstances may include (but not limited to):

- (1) failure to meet pay-in obligation on T+2 day,
- (2) delay in meeting the pay-in or margin requirement,
- (3) delay or failure in clearance of outstanding or dues to the broker,
- (4) returning or frequent returning of cheques of the client,
- (5) Unnecessary / Unwarranted dispute from client without any substantial cause / reason,
- (6) Client's attitude of not coming to an amicable settlement for any dispute that can be settled without involvement of Exchange and /or SEBI,
- (7) As per prevalent RMS policy of the Broker,
- (8) Any direction from SEBI / Exchange or such other authorities,
- (9) Under such other circumstances as the Broker might think just and proper on case to case basis.

Notwithstanding such as an agreement / arrangement, the Stock Broker shall have absolute discretion to reduce the volume of business of the Client or restrict dealings by the Client without any prior notice to the Client and/or sub-broker interalia, having regard:

- (i) to the volatility in the market;
- (ii) in view of impending price sensitive announcements;
- (iii) any restrictions in relation to volume of trading / outstanding business / margins stipulated by the Exchange / Stock Broker, political instability in the Country etc;
- (iv) presence of any other price sensitive factors;

Suspension / Deregistering of Client Account:

The Broker and/or client may suspend Client's account from further dealing in the securities market through the broker in following circumstances:

- (1) as per Client's written request, it must be submitted to Broker at its Bhavnagar H.O. duly acknowledged by Broker (subject to clearance of entire outstanding/obligations),
- (2) Dormant or in-active status of client account beyond specified time limit as may be prescribed by Broker, Under any circumstances mentioned in (i) to (ix) above.
- (3) As per Broker's RMS policy, the account in which no transactions has took place during the period of 12 months from the latest date of last transaction, the same shall be considered as Dormant or Inactive account.

Such transaction date may relate to any of the following date, which ever is later:

- (1) entry related to contract or bill generation for buy/sell transaction
- (2) entry related to payment of funds or securities by client
- (3) entry passed by the broker by way of JV due to any dues / obligation recoverable from Client.

Policy for Dormant / In-active account:

In case Broker treats the account of client as a dormant / in-active account, the funds or securities lying with the broker shall be refunded / returned to clients immediately on demand by the client. In order to reactive the account, client needs to instruct the Broker in writing at least 2 days in advance at its Bhavnagar H.O. The Broker will try to promptly reactivate the said Account. Such written request may also be sent by way of by e-mail to Compliance Department on info@pushpaksecurities.com from client's own e-mail account registered with Broker. However, Broker may, in its own discretion, waive / reduce the period of 2 days as the circumstances may warrant on case to case basis.

Handling of Client's Securities :

The securities received in pay out against which payment has been made by clients shall be transferred to the demat account of the respective clients within one working day of pay-out. Such securities shall be transferred directly from pool account to the demat account of respective client. With respect to securities that have not been paid for in full by the clients shall be transferred to client unpaid securities account form the pool account. The securities kept in the client unpaid securities account shall be either transferred to the demat account of the respect client upon fulfillment of client's funds obligation or shall be disposed off in the market within five trading days after the payout. Profit / loss on the sale transaction of the unpaid securities. If any shall be transferred to / adjusted from the respective client account.

I/WE HAVE THOROUGHLY READ AND UNDERSTOOD THE CONTENTS OF THE AFORESAID MANDATORY DOCUMENT AND THEREAFTER PUT MY SIGNATURE HEREIN BELOW.

⊗

Signature of Client / Authorised Signatory

BROKERAGE (Tariff Sheet)

	1 st Leg		2 nd Leg	
	Percentage (%)	Minimum (Ps)	Percentage (%)	Minimum (Ps)
Equity – Cash & Derivatives				
Trading				
Delivery				
Futures				
Option				
Currency Derivatives				
Intraday				
Settlement				
Option				

The above rates are exclusive of transaction charge, stamp duty, security transaction tax and service tax which will be charged at the rate prevailing from time to time.



Signature of Client / Authorised Signatory



Subbroker / AP Signature

Signature of Authorised Signatory
Seal/Stamp of Pushpak Finstock

Voluntary Declaration-cum-Confirmation for Running Account Authorisation To Pushpak Finstock [NSE/BSE]

Date: _____

I /We have been/shall be dealing through you as my/our broker on the Capital Market and/or Futures & Options Segments of various Exchanges. As my/our broker i.e. agent I/we direct and authorize you to carry out trading/ dealings on my/our behalf as per instructions given below.

I am/We are aware that you and I/we have the option to deliver securities/make payments of funds to each other for settlement of dealings as per the schedule in force at the relevant time pursuant to directives / regulations / circulars, issued by exchange/ regulatory authorities.

However, I/we find it difficult to carry out repeated pay-in of funds and securities. Further, I/we also desire to use my/our securities and monies as margin/collateral without which we cannot deal/trade.

Therefore I/we hereby direct and authorize you to maintain running account(s) for me/us and from time to time debit these securities and funds from running accounts and make pay-in of securities and funds to exchanges/ clearing corporations/ other receiving party(ies) to settle my/our trades / dealings. Similarly, where I/we have to receive securities/ funds in settlement of trades/ dealings please keep the securities and monies with you and make credit entries for the same in running accounts of securities and fund maintained by you.

Further, subject to your discretion and valuation please treat my/our securities and funds lying to my/our credit in running accounts as margin/ collateral for my/our dealings/trading.

In the event I/we have outstanding obligations on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. While settling the account please send 'statement of accounts' containing an extract from ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds/securities. Please explain in the statement(s) being sent the retention of funds/ securities and the details of the pledge, if any. I agree that if I/we fail to bring any dispute arising from the statement of accounts or settlement so made to your notice within 7 working days from the date of receipt of funds/ securities or statement, as the case may be in writing by delivery at your registered office then in that event the statement of accounts or settlement so made shall attain finality and I/we shall have no right to dispute any/either of these ever.

Please do not carry out above stated settlement of running account in the event I /we avail margin trading facility. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/ margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).

Please further note that while I am entitled to revoke this authorization at any time, however, such termination shall be subject to physical delivery of revocation letter at your registered office. Further, the said revocation shall be effective subject to clearance of all dues and obligations outstanding on behalf of client to allow you to make necessary changes to handle my account without running account authorization.

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above and further agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of securities/ monies under this agreement.

My/Our preference for actual settlement of funds is at least:

Once in a Calendar Quarter ☐
Once in a Calendar Month ☐

Thanking you,
Yours Faithfully,



Signature of Client / Authorised Signatory

Name : _____

Client Code : _____

Voluntary Document

CLIENT IS REQUESTED TO REFER THE FOLLOWING NOTE BEFORE SIGNING

NOTE: The Client is required to note that the below mentioned clauses are not mandatory as per the Exchange and / or SEBI requirements. However, the same are the requirements of / from the Pushpak Finstock (hereinafter referred to as Pushpak Finstock / Broker / Stock Broker / Member). However, I am / we are (herein after referred to as the client) aware that I/we may revoke any or all the clause of this voluntary document upfront before signing or later on by communicating in writing by giving at least 15 days prior notice to Broker and in such case Pushpak Finstock reserves their right to take such decision as may be required in this regard. Further, this document will operate as my / our express authority in favour of Pushpak Finstock and such other exchange or entities (if any) and as such I/we represent that these instructions shall equally applicable as the instructions to the Group / Associated Companies / Sister Concerns of Pushpak Finstock / the Stock Broker.

To,
The Partner,
Pushpak Finstock
Bhavnagar.

1. I / We hereby declare that I am / We are regular investor in the stock markets in India and that I am/we are a trader / hedger in the Stocks / currency markets in India as such I am / We are conversant with the laws, practices, rules, regulations, guidelines, circulars, notifications etc. prescribed by Securities & Exchange Board of India (SEBI), All segment of National Stock Exchange of India Ltd. (NSE) and All segment of Bombay Stock Exchange Ltd. (BSE)
2. I/We understand and agree that you can debit my accounts either for account opening charges / agreement charges / IBT software usage charges / adjustment of DP charges and/ or other charges for any additional services provided by you as per my / our oral request including but not limited to providing photocopies of KYC Forms and other annexures /documents of any of the aforesaid entities depending upon opening of my / our relevant account(s).
3. I / We further declare that I am / We are aware of the illegal practices that are prevalent in the Stock Market and I/We assure you that I/We will not indulge into the same.
4. I / We further declare that I / We will not carry out any unfair trade practices such as Synchronized Deals, Structured Deals, Circular Trading, Insider Trading in the Capital & Derivatives Market, and currency derivatives segment.
5. I / We further declare and confirm that I / We will not place any order or carry out any trades / transactions on the Exchange which will reflect as an arrangement for profit or loss transactions or cross deals. Further, all the orders placed on the Exchange through you, will be in the normal market at normal / prevailing market prices and not at unrealistic prices where there is corresponding underlying securities positions in the cash or futures segment of the Exchange. In case, any of my transactions being declared as violate to any rules / regulations / byelaws / circulars / directions / guidelines etc. of the Exchange / SEBI / SCRA, I will be solely responsible for all penalties / charges / damages etc. levied from you by the Exchange and accordingly do hereby undertake to reimburse / pay the same to you.
6. I/ We further declare and confirm that the shares / securities provided / being provided to you are generally for the purpose of availing exposure limits / margin limits, I / We will not claim adversely or object about the same later on / in future. In case of fund pay in shortage from client, clients acknowledge that member has to make necessary pay in the exchange within time. In that case client authorizes member to pledge the securities to Clearing Corporation I / we provide this authorization in general and not required to be taken at each transaction execution time.

This specific authorization has been taken for limited purpose and as legally required in case where client gives margin in form of shares and the same are pledged to third party to borrow money / transfer to clearing member.



7. I / We further declare that as on the date of registration as your client, I / We am eligible to transact in the Stock / currency market as per applicable rules, regulations, byelaws, circulars, guidelines, etc concerned regulatory Authorities and have not been banned / restrained to transact in the securities market by any Exchange or statutory authorities and whatever permissions / prior permissions, as may be required from Government authority(ies) have been obtained by me / us. In case of any further action taken by the said relevant authorities, I We shall intimate the same to you.
8. I / We declare and confirm upfront that the Securities / contracts delivered, if any, towards margin / collaterals / pay-in obligation etc. shall absolutely be free from any lien / encumbrances of whatsoever nature.
9. (a) I/We do hereby agree and declare that I am /We are aware that the Exchanges require the Stock Broker to maintain the client account for each Exchange/ segment separately. For this purpose Stock Broker may allocate the payment received from client and payments made to the client to any of the account of the client for any exchange/ segment.
Similarly the client authorizes the Stock Broker to pass such entries to adjust the debit or credit balance of the client in trading account of or Exchange/segment to the other or vice versa. Such consolidation and segregation of client account as maintained by the Stock Broker shall be binding on the client. Without affecting the generality of the aforesaid
(b) This below authorization is required to secure broker in case client has outstanding in one company and surplus in another company and broker need to set off the amount against each other in the event of default by client.
10. As regard the placement of orders, although you had insisted on written instruction for placing orders, considering the practical difficulties faced by me in complying the same, I would request you to accept orders placed by any other means other than written. Further note that, I do not require any order/trade placement or confirmation or cancellation slips so request you not to send the same to me in connection to any of above, I therefore confirm and acknowledge that any telephonic instruction given by me either on recording lines or else will serve the dual purpose in lieu of written instruction.
11. I / We have no objection if due to punching errors you might have to change the client codes for trade done as the circumstances may warrant, within the parameters and rules and regulations of the Exchange.
12. You being a Member disclosed that you are doing proprietary trading alongwith client Business and as such I/We have noted the same.
13. I / We specifically consented not to indulge into any off-market transactions leading to dubba-trading.
14. I / We as your client agrees that any failure by you as a Stock Broker to exercise or enforce any rights conferred upon you by this terms and agreement shall not be deemed to be a waiver of any such rights or operate so as to bar the exercise or enforcement thereof at any subsequent time or times.
15. I / We, as a Client shall be responsible for all orders, including orders that may be executed without the required margin, whether or not you as a Stock Broker intimated me /us such shortfall in margin, shall instantaneously make up the shortfall either through delivery of shares in the event of sale or credit the required fund in the bank account via personal cheque or money order or account transfer or any other mode accepted to you in your sole discretion.
16. I / We, as a client, hereby agrees and indemnifies, and shall always keep you indemnified against all such action and / or claims, costs, charges damages, losses and expenses which may be incurred, suffered and / or sustained by you with respect to any third party cheque(s) and / or delivery of shares, which may be given by me as your client to be credited in my / our account as your client.

17. I / We, as your client do hereby agrees with respect to Compliance with Prevention of Money Laundering Act, 2002 (PMLA), as amended till date and from time to time and rules, regulation and guidelines framed hereunder and confirms that all the information which may be required by you (Stock Broker) to enable you to comply with the provisions of the PMLA and the rules, regulation and guidelines framed there under has been disclosed including issues related to "beneficial ownership", if any and also undertakes to promptly provide the same on an on-going basis whenever required. As also I / We hereby agree to keep you (Stock Broker) informed of any change in the information earlier provided in/ through Know Your Client Form or otherwise in this regard immediately in writing.
18. All fines / penalties and charges, exemplary damages etc. levied upon you due to my acts/deeds or transactions including illegal acts or unfair trade practices etc. as may be levied by the Exchange(s) and suffered by the Member, shall be passed on to me and recovered by you from my account either by way of debiting the same or otherwise.
19. For delayed payments / Overdue payments, I am / We are aware and agree that you may charge delayed payment charges @ 2 % p.m. or at such other rate as you determine at your absolute discretion.
20. I/We, further specifically agrees that without prejudice to the Member's other rights including the right to refer a matter to arbitration, the member shall be entitled to liquidate / close out all or any of my / our position with oral intimation to either my sub-broker or to me / us, of margins, other amounts due from me / us to you as a member, an exchange, a clearing house, any agent or sub-broker of the- member and/or other individual, partnership, corporation, company, organization, association, trust or other entity acting for or on behalf of the member, or any other outstanding debts etc. Any and all losses, financial charges and / or incidental expenses incurred by the member on account of such liquidation / closing out shall (at the discretion of the member) be reimbursed by me / us and/or sub-broker / charged to and borne by me and/or sub-broker / deductible by the member from the monies and / or colateral margin of mine, brokerage of the subbroker available with the member.
21. **Sharing of Information :** I / We agrees to immediately furnish information to the member in oral / writing or the member suomoto (on its own) in receipt of such information in the event that is likely to have an adverse effect of my /our financial position. Upon receipt of such information, the member shall be entitled to take such action (in its absolute discretion) as it may consider necessary in order to protect its own interest, including without limitation, liquidation / closing out all / any outstanding positions of mine / ours under oral intimation to me / us or my /our sub-broker. Any and all losses, financial charges and /or incidental expenses incurred by the member on account of such liquidation / closing out shall (at the discretion of the member) be reimbursed by me / us or my/our sub-broker. I / We also authorizes Pushpak Finstock to share our information, in its absolute discretion, to its various group entities / associate or sister concerns, if any and this consent would tantamount to my / our express authority in this regard.
22. **Investment Advice :** The Client acknowledges that the Member shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment. The Client also acknowledges that the Member's Employees are not authorized to give any such advice and that the Client will not solicit or rely upon any advice from member or any of its employees. The Client agrees that in the event of the Member or any employee or official of the member providing any information to the client, he / she / it may act upon the same at sole risks, costs and consequences and the member shall not be liable / responsible for the same. The client further agrees to always keep himself /herself / itself abreast of all requirements to be complied with by him/ her / it under various laws including Foreign Exchange Management Act (FEMA), 1999 wherever applicable and the rules, regulations, directions, circulars, notifications, guidelines etc. issued under or pursuant to the relevant laws from time to time.

23. Further any investment views given by the member are market views only. Reacting on the same will not render member liable for the same. All risk will be of client only. Members do not intend to manage the portfolio of client.

24. **RESTRICTIONS ON REGULATION OF DEALINGS :**

The Stock Broker shall at its discretion decide, from time to time, the volume of business which the Client (introduced directly or by the sub-broker) may transact during any trading day on NSE/MSEI Notwithstanding such as an agreement / arrangement. the stock Broker shall have absolute discretion to reduce the volume of business of the Client or restrict dealings by the Client without any prior notice to the Client and/or sub/broker interalia, having regard :

- (i) to the volatility in the market;
- (ii) in view of impending price sensitive announcements;
- (iii) any restrictions in relation to volume of trading / outstanding business / margins stipulated by the Exchange / Stock Broker, political instability in the Country etc;
- (iv) presence of any other price sensitive factors;
- (v) failure by the Client to maintain the applicable collateral / margin; and / or
- (vi) delays by the Client in meeting his/her/its obligation / dues relating to the business / dealings done under this Agreement or pursuant to any other agreement / arrangement between the Client and the Stock Broker.

25. **REPRESENTATIONS AND WARRANTIES**

- (1) I / We agree that I / We have the required legal capacity and I am / We are authorized to enter into agreement / Rights and obligation documents and am capable of performing my obligations and undertakings pursuant to KYC Form submission and allotment of Client Code by the Stock Broker/ Pushpak Finstock. Also I / We hereby warrants that the terms of the presents are not in contravention of any rights of any party with whom I / We have any arrangements, at any time during and prior to the execution of this Agreement with Stock Broker/ Pushpak Finstock.
- (2) All actions required to be taken to ensure compliance of all the transactions, which I/We as your client, may enter into pursuant to this Agreement with all applicable laws, shall be completed by me/us prior to such transaction being entered into.
- (3) Any instructions given by my Authorised representative to you – the Stock Broker or to Stock Broker's representative, shall be binding on me.
- (4) I / We specifically agree and confirm that though the Rights and obligation documents / terms and other agreement has been divided into sections governing transactions in various segments/services the agreement shall be binding on the parties in its entirety. Entering into this agreement governing transactions in multiple segments/services shall not be a reason for disputing any transaction or account of client with the Stock Broker / Pushpak Finstock.
- (5) I / We agree to provide and continue to provide all details about me / us as may be required by the Stock Broker / Pushpak Finstock including but not restricted to PAN Number or Unique Identification Number (issued by SEBI) and states that all details and facts represented to the Stock Broker / Pushpak Finstock are true.
- (6) I / We represents and warrants to the Stock Broker / Pushpak Finstock that all the information provided and statements made in the clients account application are true and correct and are not misleading (whether by reason of omission to state a material factor otherwise) and I am / We are aware that the Stock Broker / Pushpak Finstock has agreed to provide the Stock Broker's / Pushpak Finstock service to me / us as a client on the basis interalia, of the statements made in client's account application.

I/We hereby give this declaration to you without any coercion, with sound mind and voluntarily to you which shall be part of my Client Registration Form and Member Client Agreement executed on the dates mentioned therein I / We hereby confirm and declare that the details / information and documents/ proofs submitted / provided towards KYC Documents or otherwise are full, accurate as well as true and correct to the best of my / our knowledge and belief and nothing has been concealed therein. In case any information / details found to be false / untrue / misleading / misrepresenting, I am / We are aware that I/We may held liable for it.

I am / we are understand and aware that the aforesaid consents are purely voluntary and have been given to you for smoother operations of my / our client account with you as our broker. Further, these standing instructions are valid from the date the client / trading account is opened with you and will be valid and operational until revoked by me /us by giving notice in writing to your compliance officer only. Any entries / transactions and acts, deeds, things etc. carried out by broker in accordance with this authorization shall be binding on me / us.

I / We, hereby accept and agrees to the above mentioned terms and conditions and request you to kindly open my account with Pushpak Finstock. In case of any breach of any terms as mentioned hereinabove, I/We, will be liable to indemnify you for all losses on accounts of the same.

Yours faithfully,



Signature of Client / Authorised Signatory

To

Pushpak Finstock

2130-A/2, "VRAJRAJ", 3rd Floor, Near Reliance Super Market, Atabhai Road, Bhavnagar-364 001.

Dear Sir,

Sub: Confirmation of Mobile number and Email Id.

I/We _____ (Name of the client),

_____ (PAN NO) would like to confirm that the

Email Id _____ Submitted by me/us belongs to :

1) Self ☐ 2) Spouse ☐ 3) Dependent Parents ☐ 4) Dependent Children ☐

Mobile No. _____ Submitted by me/us belongs to :

1) Self ☐ 2) Spouse ☐ 3) Dependent Parents ☐ 4) Dependent Children ☐

I/ We hereby consent to receive information on the above mentioned mobile number and / or email id; and that any information received on the mobile number and email id mentioned above is / are accessible to me on regular basis and I / We state that the Company shall not be liable in any of the following situations:

- ☐ if any information is not checked by me / us;
- ☐ in case of disconnection of the services of the mobile service provider;
- ☐ in case of discontinuance of usage of email by me/ us;
- ☐ in case the mobile number id registered under Do not Call Registry or register the same in future and the same is not disclosed by you;
- ☐ In case the mails sent are received under the junk or spam folder;
- ☐ in case of use / misuse of the mobile number or email id by any other person.

I / We also agree that the Company shall not be held responsible in any case for providing information on the above mentioned mobile number and email id.

I / We also undertake that my / our number at present is not registered under Do not Call Registry and for such transactional / servicing calls and / or SMSs / emails made by or on behalf of Pushpak Finstock.

I / We shall not lodge a complaint for violation of TRAI guidelines or any other guidelines on unsolicited phone calls and SMSs and also not lodge a complaint under Information Technology Act, 2000 or any other guidelines for the sending of emails. In case in future, I / We register for 'Do not Call', I / We shall make you aware well in advance by written intimation of 7 days to revoke this undertaking till my account remains active with you.

I/We also undertake to intimate any change in the mobile number or email id in writing to the Company; till then, the said information stands to be valid. I/We declare that to the best of my/our knowledge and belief the information furnished herein above is true and complete.

Thanking you,

Yours faithfully,



Signature of Client / Authorised Signatory



FATCA-CRS Declaration & Supplementary KYC Information

Declaration Form for Individuals / Non Individuals

Please seek appropriate advice from your professional tax professional on your tax residency and related FATCA & CRS guidance

PAN*													
Name													
Address Type [for KYC address]	<input type="checkbox"/>	Residential				<input type="checkbox"/>	Residential / Business						
	<input type="checkbox"/>	Business				<input type="checkbox"/>	Registered Office						
Place of Birth						Country of Birth							
Gross Annual Income Details in INR	<input type="checkbox"/>	Below 1 Lakh		<input type="checkbox"/>	1-5 Lacs		Occupation Details [Please tick any one (✓)]	<input type="checkbox"/>	Business		<input type="checkbox"/>	Professional	
	<input type="checkbox"/>	5-10 Lacs		<input type="checkbox"/>	10-25 Lacs			<input type="checkbox"/>	Public Sector		<input type="checkbox"/>	Private Sector	
	<input type="checkbox"/>	25 Lacs - 1 Cr		<input type="checkbox"/>	> 1 Crore			<input type="checkbox"/>	Government Service		<input type="checkbox"/>	Housewife	
Net Worth in INR. In Lacs [Optional]								<input type="checkbox"/>	Agriculturist		<input type="checkbox"/>	Retired	
Net Worth Date [Optional]	dd-mm-yyyy							<input type="checkbox"/>	Forex Dealer		<input type="checkbox"/> Others [Please specify] _____		
Politically Exposed Person [PEP]	<input type="checkbox"/>	Yes		<input type="checkbox"/>	Related to PEP		Any other information [if applicable]	[Please specify]					
	<input type="checkbox"/>	Not Applicable											

* If PAN is not available, please specify Folio No(s)

Is your Country of Tax Residency other than India - ☐ Yes ☐ No

If 'Yes', please specify the details of all countries where you hold tax residency and its Tax Identification Number & type

S No	Country of Tax Residency#	Tax Payer Identification Number / Functional Equivalent	Identification Type [TIN or other, please specify]
1			
2			
3			

to include all countries than India, where investor is Citizen / Resident / Green Card Hold / Tax Resident in those respective countries especially of USA


Declaration :

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting. I/am aware that I may liable for it. I hereby authorize you to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, update to such information as and when provided by me to / any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI / RBI/IRDA/PFRD to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities. I/We authorize Fund/AMC/RTA to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same.

Date :

Signature :

Place :





HUF DECLARATION

To,

Date:-_____

Pushpak Finstock

2130-A/2, "VRAJRAJ", 3rd Floor, Near Reliance Super Market,
Atabhai Road, Bhavnagar-364 001.

Dear Sir,

I hereby request you to open our trading account with you , for our HUF Being karta of family, I hereby declare that following is the list of members in our HUF, as date Of Application, as below

Client Code :- _____

Sr.No	Name of Family Member	Date of Birth DD/MM/YY	Gender	Relationship with Karta	Signature
1					
2					
3					
4					
5					
6					

I hereby also declare that the particulars given me as stated above are true of the best of my Knowledge as on date for making this Application to open Account.

I agree that any false/misleading information given by me of suppression of any material information will render my said account liable for termination and further action, Further, I agree that I will immediately intimate any death/s or birth/s in the family as it changes the constitution of the HUF.

Thanking You,
Yours truly



Karta
(Affix stamp of HUF)

FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATE ENTITY PRINT TO BE TAKEN ON THE LETTERHEAD OF THE COMPANY

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF **(Company Name)**
AND HAVING ITS REGISTERED OFFICE AT **(Company Add)**
HELD ON **(Date of meeting)** DAY OF **(Time)** 201
AT AM / PM.

"RESOLVED THAT" the company being entitled to carry out transactions in securities market, do open an account and get register as Client with Pushpak Finstock Member of National Stock Exchange of India LTD (NSE), MCX stock exchange limited (MCX)-SX) and a Depository Participant of Central Depository Services (India) Limited (CDSL) for the purpose of dealing equities, derivatives, mutual fund units and other permissible securities and the said Member and/or DP be and is hereby authorised to honor instructions regarding purchase, sale dematerialization of shares and securities, contracts, units etc. and other orders made on behalf of the company, whether oral or written, by any one of the following directors / authorised signatories whose specimen signatures are as under and the said member and/or DP to act upon any instructions so given relating to the said account

SR. NO	NAME	DESIGNATION	SPECIMEN SIGNATURE
1		Director	X
2		Director	X
3		Authorised Signatory	X

who are authorised to give orders / instruction for sell, purchase, transfer, endorse, negotiate and / or otherwise deal with / through Pushpak Finstock on behalf of the Company.

RESOLVED FURTHER THAT Mr. and / or Mr. and / or Mr. Directors of the Company be and are hereby authorised severally or jointly to sign, execute and submit such applications undertaking, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to give effect to this resolution.

RESOLVED FURTHER THAT any one of the above mentioned signatories would have authority to act on behalf of the Company and actions of any Directors / Authorised Signatories will be binding on the Company.

RESOLVED FURTHER THAT the Common Seal of the Company be affixed, wherever necessary, in the presence of any one / two Directors of the Company and Company Secretary who shall sign the same in token of their presence."

Certified true copy

For Pvt. Ltd. / Ltd.

Date : _____

Chairman / Director

Director

Place : _____

FORMAT DECLARATION TO BE GIVEN BY PARTNERSHIP/ PROPRIETORSHIP FOR TRADING ON LETTERHEAD OF THE FIRM

To,
Pushpak Finstock
2130-A/2, "VRAJRAJ", 3rd Floor, Near Reliance Super Market,
Atabhai Road, Bhavnagar-364 001.

Date: _____

Dear Sir,

We refer to the trading account opened with you in the name of and declare and authorize you as under:
We recognize that a beneficiary account cannot be opened with a depository participant in the name of a Partnership/Proprietor firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the delivery / collateral / margin obligations pursuant to the trading operations, we authorize you to recognize the beneficiary Account No. with Depository Participant opened as an account in the name of the partners/proprietors of the firm.

We agree that all the aforesaid obligations of the firm will be handled and completed through transfers to / from the above mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

We Authorize, partner/proprietor in the firm to execute / sign and submit such documents, agreements deeds etc. as may be necessary to the agreement and engage in business with Pushpak Finstock And to sell, purchase, endorse, negotiate and do all other things that may be necessary to engage in business on behalf of the partnership/proprietorship and to sign the authority for adjustment of balances in family accounts.

Signature by all partners/proprietors of the Firm:

Name of Partners/Proprietors (in BLOCK LETTERS)	SIGNATURE
	(X)
	(X)
	(X)

OUR SERVICES

Equities

Derivatives

Depository Service (CDSL)

I.P.O.

Online Trading



Equity, Derivatives, Through Pushpak Finstock

Sebi : Registration No. (Broker) INZ000223221 (NSE / BSE)

PUSHPAK FINSTOCK

Member : NSE / BSE

2130-A/2, "VRAJRAJ", 3rd Floor, Near Reliance Super Market,
Atabhai Road, Bhavnagar-364 001.
info@pushpaksecurities.com

Tel. No. 0278 2471552, 2223171, 2223170

Web. : www.pushpaksecurities.com